

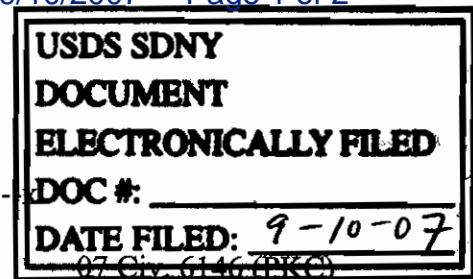
UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

SECURITIES AND EXCHANGE COMMISSION,
Plaintiff,

-against-

THEODORE ROXFORD a/k/a LAWRENCE DAVID NIREN
and HOLLINGSWORTH ROTHWELL & ROXFORD,

Defendants.



07 Civ 6146 (PKC)
ORDER

P. KEVIN CASTEL, District Judge:

Defendant Lawrence Niren a/k/a Thomas Roxford did not appear at today's initial pretrial conference either in person or by an attorney admitted to practice before this Court who had first filed a notice of appearance. His absence is unexcused and noted.

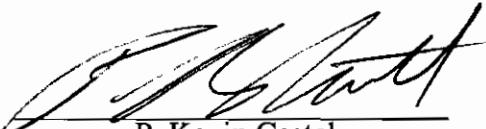
A Scheduling Order has been entered in this action. I will hold a further conference to review the defendant's discovery obligations and take up other matters relating to Mr. Niren's motion on September 28, 2007 at 2:45 p.m. in Courtroom 12C. I direct the defendant to appear either in person or by an attorney admitted to practice before this Court who has first filed a notice of appearance.

LAWRENCE NIREN, A/K/A THEODORE ROXFORD, IS ORDERED TO APPEAR IN PERSON OR BY AN ATTORNEY ADMITTED TO PRACTICE IN THIS COURT (WHO HAS PREVIOUSLY FILED A NOTICE OF APPEARANCE ON HIS BEHALF) ON SEPTEMBER 28, 2007 AT 2:45 P.M. IN COURTROOM 12C, THE MOYNIHAN U.S. COURTHOUSE, 500 PEARL STREET, NEW YORK, NY 10007, FOR A CONFERENCE IN THIS MATTER. IF LAWRENCE NIREN, A/K/A THEODORE ROXFORD, DOES NOT SO APPEAR, THEN A DEFAULT JUDGMENT MAY BE ENTERED AGAINST HIM WHICH MEANS, AMONG

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**OTHER THINGS, THAT THE LAWSUIT WILL BE DECIDED IN THE
PLAINTIFF'S FAVOR.**

SO ORDERED.


P. Kevin Castel
United States District Judge

Dated: New York, New York
September 7, 2007